

FORM PTO-1449	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. CF/024	SERIAL NO. 09/927,628
INFORMATION DISCLOSURE STATEMENT BY APPLICANT		APPLICANT Andrew H. Pritchard	
		FILING DATE August 10, 2001	GROUP 2162

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
DIA	3,976,840	08/24/76	Cleveland et al.	179	2	
	4,412,287	10/25/83	Braddock, III	364	408	
	4,674,044	06/16/87	Kalmus et al.	364	408	
	4,823,265	04/18/89	Nelson	364	408	
	5,101,353	03/31/92	Lupien et al.	364	408	
	5,126,936	06/30/92	Champion et al.	364	408	
	5,132,899	07/21/92	Fox	364	408	
	5,161,103	11/03/92	Kosaka et al.	364	408	
	5,220,500	06/15/93	Baird et al.	364	408	
	5,267,148	11/30/93	Kosaka et al.	364	408	
	5,270,922	12/14/93	Higgins	364	408	
	5,689,651	11/18/97	Lozman	395	237	
	5,761,661	06/02/98	Coussens et al.	707	9	
	5,778,357	07/07/98	Kolton et al.	707	2	
	5,806,048	09/08/98	Kiron et al.	705	36	
	5,893,079	04/06/99	Cwenar	705	36	
↓	5,946,667	08/31/99	Tull, Jr. et al.	705	36	
O-A	5,950,176	09/07/99	Keiser et al.	705	37	

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
D-A	WO 98/49639	11/05/98	PCT	G06F	17/60		
O-A	WO 99/01983	01/14/99	PCT	H04N	7/14		X
O-A	WO 00/26745	05/11/00	PCT	G06F			

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7/20/06

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT		APPLICANT Andrew H. Pritchard	
		FILING DATE August 10, 2001	GROUP 2162

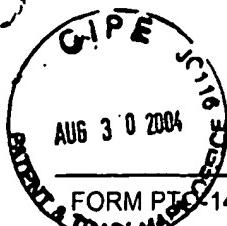
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER INITIAL	
D·A	Standard & Poor's Depository Receipts® ("SPDRs")®, SPDR Trust, Series 1, A Unit Investment Trust, prospectus dated 4/25/96.
O·A	Jinny St. Goar, "Weaving WEBS and Baskets," from the Internet at http://www.assetpub.com/archive/gc/96-02gcsummer/summer96GC086.html , printed on 8/2/00.

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Sheet 1 of 2

FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

INFORMATION DISCLOSURE
STATEMENT BY APPLICANTS

ATTY. DOCKET NO.
CF-24

APPLICATION NO.
09/927,628

APPLICANT
Andrew H. Pritchard

CONFIRMATION NO.
5363

FILING DATE
August 10, 2001

GROUP
3624

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
						RECEIVED
						SEP 2 2004
						GROUP 3600

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO

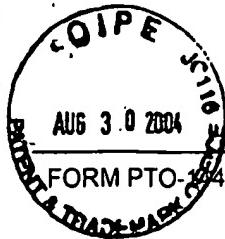
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER INITIAL	
0-A	United States Department of the Treasury, Bureau of the Public Debt, at http://www.publicdebt.treas.gov , printed August 25, 2004.
	Actively Managed Exchange-Traded Funds, Investment Company Act Release No. 25258, November 8, 2001.
	Merrill Lynch, Pierce, Fenner & Smith Incorporated, SEC No Action Letter (1999 SEC No-Act. LEXIS 737), pub. avail. September 3, 1999.
	Indosuez Asset Management Asia Limited, SEC No Action Letter (1997 SEC No-Act. LEXIS 326), pub. avail. February 14, 1997.
	Commonwealth Bank of Australia, SEC No Action Letter (1996 SEC No-Act. LEXIS 865), pub. avail. September 23, 1996.
	Robertson, Stephens & Company, SEC No Action Letter (1993 SEC No-Act. LEXIS 435), pub. avail. March 13, 1993.
✓	CRT Government Securities, Ltd., SEC No Action Letter (1992 SEC No-Act. LEXIS 844), pub. avail. August 4, 1992.
0-B	Bear, Stearns & Co. Inc., SEC No Action Letter (1992 SEC No-Act. LEXIS 81), pub. avail. January 28, 1992.

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Sheet 2 of 2

FORM PTO-1449	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. CF-24	APPLICATION NO. 09/927,628
	INFORMATION DISCLOSURE STATEMENT BY APPLICANTS	APPLICANT Andrew H. Pritchard	CONFIRMATION NO. 5363
		FILING DATE August 10, 2001	GROUP 3624

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER INITIAL	
O·P	Merrill Lynch, Pierce, Fenner & Smith, Inc., SEC No Action Letter (1990 SEC No-Act. LEXIS 1136), pub. avail. September 26, 1990.
O·P	Financial Security Assurance Inc., SEC No Action Letter (1988 SEC No-Act. LEXIS 456), pub. avail. March 30, 1988.
O·P	Central Utah Rural Impact Capital Corp., SEC No Action Letter (1980 SEC No-Act. LEXIS 3589), pub. avail. August 29, 1980.

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GROUP 3600
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U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICEO.I.P.
SECOND SUPPLEMENTAL INFORMATION DISCLOSURE
STATEMENT BY APPLICANT

JAN 15 2002

ATTY. DOCKET NO.
CF-24APPLICATION NO.
09/927,628APPLICANT
Andrew H. PritchardCONFIRMATION NO.
5363FILING DATE
August 10, 2001GROUP
2162

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
O.A.	6,088,685	07/11/2000	Kiron et al.	705	36	

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JAN 23 2002
Technology Center 2100

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